

QUESTIONS AND ANSWERS

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Q11. I am unsure about the fit of a project with the FOA. In particular, could you clarify if mathematical/optimization/simulation modeling and decision-support systems are considered technological developments for the purpose of this FOA? I am interested in proposing the development of **** [description of project]. In short, the proposal would address applications within the FOA: transportation, buildings and	

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industrial efficiency, but I am not sure if the specific type-of-research I'd like to propose falls within ARPA-E's areas of interest.	7
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If such a resubmission is allowed, we would readily write a new concept paper that meets the new guidelines.	7
Q14. I have two technologies I am considering applying for under the OPEN FOA: **** [description of both projects]. My interpretation of this FOA is that you are looking for the high risk-high potential technologies. Do I go for the practical technology or the one that could help create the long sought after ****[technology type]? I realize you can't tell me what I should do but basically is this FOA for the BIG discovery?	8
Q15. Prior to the submission of my proposals I wanted to discuss and speak to someone at ARPA-E about my ideas.	8
Q16. If I have read the correctly, all work must be performed in the US. Could you please confirm that this is the case, thus leaving no possibility to perform work in another country, or is there a possibility to perform management/small tasks overseas?	8
Further, what is the required relationship between ourselves and the subsidiary/affiliate that will be performing the work in the US? Could this be a collaboration between ourselves and a US university, or must the subsidiary/affiliate be owned or be part of the same organization as ourselves?	8
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Q18. Our Concept Paper is completed. Where is the format for its Cover Sheet?	8
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If we are able to secure funding we would become a domestic entity in the United States. However, as the deadline for the Notice of Intent is sooner than it would be possible to incorporate in the United States, would we then still be required to apply as a Foreign Entity through a subsidiary.	9
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Q22. We are a small "think tank" company, performing research and development by using computer only. When it comes to fabrication, we have to have our team member fabricate prototype. Therefore, almost	

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80% of cost will be spent by our team member. In this case, are we qualified for the “Cost Share Grace Period” program?	9
Q23. What is the cost share requirement when the proposing organizational structure is composed of one public university and two Small and Medium-sized Enterprises (SMEs), as defined by EU law? See the example below:	10
Academic1 5% of $x = 1.05x$	10
SME1 20% of $x = 1.20x$	10
SME2 20% of $x = 1.20x$	10
Total cost = $3.45x$	10
Aggregate Cost Share = $0.45x$	10
Global cost share = $0.45/3.45 = 13\% > 10\%$ for SMEs	10
Q24. If a project team receives an award, and the sub recipients won’t begin work until later in the project period, will the sub recipients have to contribute cost share for the portion of the project during which they’re not active? Additionally, will the cost share percentage change due to the differing types of organizations and the non-concurrent work schedules?	10
Q25. I am National Laboratory staff, and have a collaborator at a foreign university (Europe). Can the foreign collaborator contribute to the cost share? (the university does not have a US subsidiary campus). ...	10
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the full small business share for the duration of the effort?	11
Q27. I am an inventor, and do not have funds for cost share. I have a partner who can fabricate a prototype to test my invention. Most of the fund from DOE will be used by my partner. Can I apply for 0.0 % cost share program?	11
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Q29. Under the “Title to Subject Inventions” section of the FOA who would own the title to subject inventions in absence of a waiver for large businesses and foreign entities? Further, could you please explain when ARPA-E “typically issues ‘class patent waivers’ under which large businesses and foreign entities that meet certain stated requirements may elect to retain title to their subject invention.”	11
Q30. Our proposal aims to develop a [***** description of project]. Will applications dealing with a material whose industry is not as large as the materials listed (glass, paper, iron, steel, plastics, aluminum) but still has a remarkable market, such as rechargeable battery materials of multi-billion dollars, be responsive under sub-categories G and H of category 7 in the FOA?	12
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• 1 page budget	14
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I. FREQUENTLY ASKED QUESTIONS:

A. ARPA-E recently published a Teaming Partner List for an upcoming FOA: Network Optimized Distributed Energy Systems (NODES). May I submit my idea to both the OPEN 2015 FOA and the future NODES FOA, or should I submit my idea to only one FOA?

ANSWER: An identical concept should not be submitted to both FOAs. ARPA-E anticipates issuing the NODES FOA before the Notice of Intent deadline for the OPEN 2015 FOA (February 20, 2015). This should allow potential applicants sufficient time to review the technical requirements of the NODES FOA and independently determine whether their proposed concept warrants a submission. Potential applicants with interest in developing the technologies described in the NODES Teaming Partner List (available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov/>), are very strongly encouraged to submit their concept to the NODES FOA.

Per Section I.E (Applications Specifically Not if Interest) of the OPEN 2015 FOA, identical applications submitted in response to currently issued ARPA-E FOAs, including NODES, will only be reviewed and considered for funding once under the first FOA to which the applicant applied.

B. I missed the Notice of Intent deadline. May I still submit a Concept Paper?

ANSWER: No. Only applicants who have successfully created a Notice of Intent in eXCHANGE by the published deadline are eligible to submit a Concept Paper to the FOA. See Section III.C.1 (Compliant Criteria) of the FOA.

C. Is there an approval process for the Notice of Intent? Should we expect any feedback from ARPA-E on the Notice of Intent prior to the submission deadline for the Concept Paper?

ANSWER: No. ARPA-E does not approve or provide feedback for Notices of Intent. However, ARPA-E performs a preliminary review of Notices of Intent to determine whether they are compliant. ARPA-E will not review or consider noncompliant Notices of Intent. See Section III.C.1 (Compliant Criteria) of the FOA for Notice of Intent compliance criteria.

D. May I submit my idea to both the OPEN 2015 FOA and the Innovative Development in Energy-Related Applied Science (IDEAS) FOA (DE-FOA-0001002), or should I submit my idea to only one FOA?

ANSWER: Prior to applying to either FOA, ARPA-E strongly encourages potential applicants to carefully review Section II.A (Award Overview) of the OPEN 2015 FOA which distinguishes the technical parameters of both FOAs. As provided in Section II.A, potential applicants who seek funding for the purpose of proving an innovative technology concept at its earliest stages of development without defining a clear path to a functional prototype at the laboratory scale are advised to apply to the IDEAS FOA. Potential applicants that seek funding for concepts that require proof-of-concept R&D or for a project in which some initial proof-of-concept demonstration already exists are advised to apply to the OPEN 2015 FOA.

An identical concept should not be submitted to both FOAs. Per Section I.E (Applications Specifically Not if Interest) of the OPEN 2015 FOA, identical applications submitted in response to currently issued ARPA-E FOAs, including the IDEAS FOA, will only be reviewed and considered for funding once under the first FOA to which the applicant applied.

E. If I have questions about this funding announcement, who do I contact?

ANSWER: Please see the FOA guidance on submitting FOA content questions and response publication. Applicants may submit questions regarding this ARPA-E's Funding Opportunity Announcement (FOA) to ARPA-E-CO@hq.doe.gov. All emails must include the FOA name and number in the subject line. The cover page and Executive Summary of the Funding Opportunity Announcement state the deadlines for submitting questions to ARPA-E-CO@hq.doe.gov.

F. How will I receive a response to questions submitted to arpa-e-co@hq.doe.gov about this FOA?

ANSWER: Responses are posted in the "Current Funding Opportunities FAQs" section of ARPA-E's website available at <http://arpa-e.energy.gov/?q=faq/current-funding-opportunities>. In addition, general questions about ARPA-E can be found at <http://arpa-e.energy.gov/?q=faq/general-questions>.

ARPA-E will post responses on a weekly basis to questions that are received. ARPA-E will cease to accept questions approximately 5 business days in advance of each submission deadline. Responses to questions received before the cutoff will be posted approximately one business day in advance of the submission deadline. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.

G. Will ARPA-E post a response to every question submitted to arpa-e-co@hq.doe.gov?

ANSWER: No. ARPA-E will only post responses to questions that have not already been addressed by a published FAQ. Also, ARPA-E may consolidate similar questions for administrative purposes.

H. If I have questions about ARPA-E exchange, who do I contact?

ANSWER: Applicants may submit questions regarding ARPA-E's online application portal, ARPA-E eXCHANGE, to ExchangeHelp@hq.doe.gov. All emails must include the name and number of the Funding Opportunity Announcement in the subject line.

I. Can I speak or meet with the ARPA-E program director or other ARPA-E personnel about this funding opportunity announcement?

ANSWER: No. Upon the issuance of this Funding Opportunity Announcement (FOA), ARPA-E Program Directors and other ARPA-E personnel are prohibited from communicating (in writing or otherwise) with Applicants, or potential Applicants, regarding the FOA. This "quiet period" remains in effect until ARPA-E's public announcement of its project selections. During the "quiet period," Applicants may submit questions regarding the FOA to ARPA-E-CO@hq.doe.gov with the FOA name and number in the subject line. Applicants may also submit questions regarding ARPA-E's online application portal, ARPA-E eXCHANGE, to ExchangeHelp@hq.doe.gov with the FOA name and number in the subject line. ARPA-E will not accept or respond to communications received by other means (e.g., fax, telephone, mail, hand delivery). Emails sent to other email addresses will be disregarded.

J. Can a person be PI on one proposal and a Co-PI on a second separate proposal?

ANSWER: Yes, an individual may be on more than one submission – either as a lead or member of a Project Team.

K. May applicants submit more than one concept paper to this funding opportunity?

ANSWER: Yes, but each Concept Paper must be “scientifically distinct”. This term is used in Section III.C.3 (Limitation on Number of Applications) of the FOA. In this context, the term “scientifically distinct” is used to emphasize that, in the event an Applicant intends to submit multiple concept papers/application, the applicant should propose distinct technical approaches in each application. This prohibition on duplicative applications involves a fact-based determination by ARPA-E to ensure a focused review of each technical concept, and appropriate use of ARPA-E's limited time/resources.

L. I have developed a technology that may be a good fit for this funding opportunity. Will ARPA-E please review my idea and let me know if it is responsive to this FOA?

ANSWER: ARPA-E will review compliant and responsive concept paper submissions and provide feedback either encouraging or discouraging submission of a Full Application. See Section IV.A (Application Process Overview) of the FOA for Concept Paper review process. Concept Paper submissions are compliant if they meet the requirements of Section III.C.1 (Compliant Criteria) of the FOA, and are responsive if they meet the Program Objectives and other requirements set forth in Section I.C (Program Objectives and Structure) of the FOA and do not fall under Section I.E. (Applications Specifically Not of Interest) of the FOA.

M. Are foreign entities eligible to apply to this FOA?

ANSWER: Foreign entities are eligible to apply for funding. See Section III.A.3 (Eligibility Information- Foreign Entities) of the FOA. However, if the project is selected for award negotiations and an award is made, all work must be performed in the United States by subsidiaries or affiliates incorporated in the United States or U.S. territories, unless ARPA-E grants a foreign work waiver to allow performance of part of the work outside of the United States. ARPA-E's grant of a foreign work waiver is a fact dependent, case-by-case determination that is made only in exceptional circumstances and only for discrete parts of an award that necessitate foreign work. Applicants that anticipate the need for a foreign work waiver to perform some work outside of the U.S. should review Section 5 of the Business Assurances & Disclosures Form.

N. Are individuals eligible to apply to this FOA?

ANSWER: Yes. Individuals are eligible to apply for funding. See Section III.A. (Eligibility Information) of the FOA. However, any ARPA-E award funding would need to be made to a business entity formed by the Applicant, if selected for award negotiations.

O. Will ARPA-E post a “Teaming List” for this FOA?

ANSWER: No. Due to the large number of expected applicants ARPA-E will not issue a Teaming Partner List for this FOA.

P. I missed the Concept Paper deadline. Can I still submit a Full Application?

ANSWER: No. Only applicants who have successfully submitted a Concept Paper in eXCHANGE by the published deadline are eligible to submit a Full Application to the FOA.

Q. Our project team includes several team members. Does each team member need to contribute cost share equally?

ANSWER: Although the cost share requirement applies to the Project Team as a whole, the funding agreement makes the Prime Recipient legally responsible for paying the entire cost share.

See Section III.B.4 for more information on cost sharing. Each Project Team is free to determine how much each team member will contribute towards the cost share requirement. The amount contributed by individual Project Team members may vary, so long as the cost share requirement for the project as a whole is met.

R. Can you tell me whether my project team qualifies for reduced cost share based on the following scenario: []?

ANSWER: ARPA-E may not provide pre-submission assessments on a project team's specific cost sharing requirement.

S. Will in-kind contributions count towards meeting our cost share requirements?

ANSWER: Yes, if the in-kind contribution is determined to be allowable, allocable and reasonable by the ARPA-E Contracting Officer. Since this is necessarily fact determinative inquiry, these types of questions are answered based on a review of all relevant information by the Contracting Officer during award negotiations. For general guidance on acceptable cost share contributions and corresponding cost principles used by the ARPA-E Contracting Officer to make these determinations, please refer to 2 C.F.R. Parts 200 and 910 for cost sharing guidance, specifically 2 C.F.R. § 200.206 and 910.130.

T. We have a question concerning the impact of a large business seeking patent rights under a class waiver if our team qualifies for reduced cost share of 10%. Does this mean the entire team project is subject to 20% cost share or only the large business' portion of the project will be subject to 20% cost share?

ANSWER: Per Section II.B.3 (Reduced Cost Share Requirement) of the FOA, under this scenario, only the large business' portion of the work under this scenario is subject to the 20% minimum cost share requirement. Please see Section III.B.3 (Reduced Cost Share Requirement), Section III.B.4 (Legal Responsibility), and Section III.B.5 (Cost Share Allocation) of the FOA for more details on the cost sharing requirements. NOTE: If the large business' portion of Total Project Costs is greater than 20%, then the project team's total cost share minimum is 20% since the team as a whole would no longer qualify for the 80/20 labor distribution for reduced cost share, per Section III.B.3 of the FOA.

U. How should we include references in our Full Application? Do they count towards the overall page limitation for the Technical Volume?

ANSWER: Applicants may provide a list of references in a separate bibliography. Only bibliographic information may be contained in the references, and no additional text or commentary should be included. There is no page limit for the bibliographic references section of the Full Application.

V. Our team originally submitted a Notice of Intent or Concept paper that listed [organization name 1] as the Prime Recipient. For our Concept paper or Full Application, can we change the lead organization to ** [organization name 2] instead?**

ANSWER: Yes, the ARPA-E eXCHANGE system will allow applicants to expand or otherwise modify the Project Team for their Concept Paper and Full Applications.

W. Can I include new Co-PIs and/or subrecipients in my Full Application?

ANSWER: Yes. Applicants may expand or otherwise modify the Project Team for their Full Applications.

X. My Concept Paper was encouraged. What are my chances of being selected for award negotiations by ARPA-E?

ANSWER: ARPA-E does not provide pre-submission assessments of Applicants' likelihood to receive funding.

Y. My Concept Paper was discouraged. May I still submit a Full Application?

ANSWER: Yes

Z. Do sub-recipients also need to fill out the Business Assurances & Disclosures Form or is this filled out only by the Prime Recipient?

ANSWER: The Business Assurances & Disclosures Form requests information regarding the legal entity submitting the application as the Prime Recipient, the legal entities and/or individuals that are proposed to be Sub-recipients, and the PI/Co-PIs in their individual capacity. The Prime Recipient may submit one Business Assurances & Disclosures Form covering all of the Project Team members if it has authorization and information to answer on their behalf. Alternatively, the Prime Recipient may request Sub-recipients to complete and sign individual Business Assurances & Disclosures Forms that the Prime Recipient will append to its form.

II. Questions for week ending: JANUARY 9, 2015

Q1. Will there be a team up list for this FOA?

ANSWER: Please see the response to the Frequently Asked Question O above.

Q2. We are pursuing the research and development of a rather complicated system that will expand greatly the amount of renewable energy that the US will have available for the generation of electricity. We have been preparing to respond to FOA-0001002 ("IDEAS") but, in the past few days, a new open solicitation, FOA-0001261 ("OPEN 2015") was released. The overall system will require several separate R&D projects that could be covered by either of the two announcements. What are the rules by which to determine the appropriate FOA for a particular project, assuming that more than one project can be submitted to either FOA?

ANSWER: Please see the response to the Frequently Asked Question D above.

Q3. Me and my collaborators at a FFRDC are interested in exploring some of the topic categories in the ARPA-E FOA, in particular 5C, 5F, and 7D. Can you put me in touch with the PM's for some of these?

ANSWER: Please see the response to the Frequently Asked Question I and E above.

Q4. I am conceptualizing a potential project that may be relevant to the production and distribution of solar energy development in the southwestern U.S. as it relates to landscape impacts and wildlife interactions. Specifically, I would like to address questions pertaining to ** [description of project and areas of interest]. I feel as though this FOA touches on some of these issues may be relevant in association to some of the sub-categories outlined in the Notice of Intent/Concept Paper guidelines. Please let me know if I am in alignment with the intent of this FOA.**

ANSWER: Please see the response to the Frequently Asked Question L above.

Q5. I submitted a concept paper under ARPA-E IDEAS FOA last year and did not receive funding. Am I precluded from submitting the same concept paper to this FOA?

ANSWER: Applicants that submit Concept Papers to Open 2015 which are identical to a Concept Paper previously submitted under a currently issued ARPA-E FOA, including IDEAS, will be deemed nonresponsive pursuant to Section III.C.2 (Responsiveness Criteria) of the FOA and will not be considered or reviewed. Specifically, Section I.E (Applications Specifically Not of Interest) of the FOA precludes submission of applications that “have been submitted in response to other currently issued ARPA - E FOAs” and applications that “are not scientifically distinct from applications submitted in response to other currently issued ARPA - E FOAs.” Please see Sections III.C.2 and I.E of the FOA for the complete details on what constitutes a responsive submission under this FOA.

Q6. Category 4 is entitled ‘Conventional Generation (Non-Renewable)’. Is this category limited to electrical power generation? Would a project involving processing of natural gas fit in this category?

ANSWER: Processing technologies are included in Category 4. For example Subcategory 4.I. includes chemical or biological conversion of natural gas. Please see Section I.D (Technical Categories and Subcategories of Interest) of the FOA for a description of each technical category and subcategory.

Q7. Does ARPA-E have any interest in reviewing the attached concept paper submitted on June4-09 again?

ANSWER: Please see the response to the Frequently Asked Question L above.

Q8. **[Name of company] has developed a new outside-the box methodology that protects the electric power grid against both cyber and physical attacks. Is this a technology that ARPA-E would be interested in?**

ANSWER: Please see the response to the Frequently Asked Question L above.

III. Questions for week ending: JANUARY 16, 2015

Q9. Can a **[foreign entity] be a Lead Organization if the Principal Investigators are located at two U.S. universities and research will be carried out at their facilities?**

ANSWER: Please see the response to the Frequently Asked Question M above.

Q10. I recently came across the "OPEN 2015" solicitation, and was hoping to discuss topics that we wish to propose in the areas of gas leak detection through the use of UAVs and proven energy conversion concepts to make sure we are moving towards the appropriate interests of ARPA-E for this call.

ANSWER: Please see the response to the Frequently Asked Question I and L above.

Q11. I am unsure about the fit of a project with the FOA. In particular, could you clarify if mathematical/optimization/simulation modeling and decision-support systems are considered technological developments for the purpose of this FOA? I am interested in proposing the development of ** [description of project]. In short, the proposal would address applications within the FOA: transportation, buildings and industrial efficiency, but I am not sure if the specific type-of-research I'd like to propose falls within ARPA-E's areas of interest.**

ANSWER: Please see the response to the Frequently Asked Question L above.

Q12. If a supporting organization wants to write a letter of support for our concept paper, will that count towards the four (4) page limit (codified on page 28, bullet 1, section IV.D)?

ANSWER: Yes. Per Section IV.D (Content and Form of Concept Papers) of the FOA, if applicants exceed the maximum page limitation of 4 pages, ARPA-E will only review the authorized number of pages, starting with the first page and then each of the following 3 pages, and disregard any additional pages.

Q13. In 2012, we filed a Concept Paper for DE-FOA-0000670: OPEN FUNDING OPPORTUNITY (see attached). We were politely "Discouraged" from pursuing that funding opportunity. DE-FOA-0001261 is similarly broad, but our technology is precisely described by category 3E: "ultra lightweight vehicles, advanced components, new vehicle designs and architectures." We have made modest progress through self funded efforts. ** [description of technology and project].**

If such a resubmission is allowed, we would readily write a new concept paper that meets the new guidelines.

ANSWER: Please see the response to the Frequently Asked Question L above.

Q14. I have two technologies I am considering applying for under the OPEN FOA: ** [description of both projects]. My interpretation of this FOA is that you are looking for the high risk-high potential technologies. Do I go for the practical technology or the one that could help create the long sought after ****[technology type]? I realize you can't tell me what I should do but basically is this FOA for the BIG discovery?**

ANSWER: Please see the response to the Frequently Asked Question L above.

Q15. Prior to the submission of my proposals I wanted to discuss and speak to someone at ARPA-E about my ideas.

ANSWER: Please see the response to the Frequently Asked Question I above.

Q16. If I have read the correctly, all work must be performed in the US. Could you please confirm that this is the case, thus leaving no possibility to perform work in another country, or is there a possibility to perform management/small tasks overseas?

Further, what is the required relationship between ourselves and the subsidiary/affiliate that will be performing the work in the US? Could this be a collaboration between ourselves and a US university, or must the subsidiary/affiliate be owned or be part of the same organization as ourselves?

ANSWER: As a general rule, all work under ARPA-E awards must be conducted in the United States or in U.S. territories. ARPA-E will consider requests to perform work outside the United States on a case-by-case basis. Only in compelling circumstances, and only for discrete parts of a project that necessitate foreign work, would ARPA-E grant such a request. Such requests are rarely made or granted. For information on eligibility of foreign entities and how to file a request to perform work outside of the United States, please see the response to Frequently Asked Question M above. A proposed sub-awardee – including universities - may be unaffiliated with the Prime Applicant.

Q17. Could you please provide the clarification on what is considered a currently issued ARPA-E FOA? Is a yearly issued FOA a currently issued ARPA-E FOA?

ANSWER: A “currently issued ARPA-E FOA” means any FOA that is currently in the application phase (either accepting Concept Papers or Full Applications) or any FOA where selections for award negotiations have not yet been determined by ARPA-E. A list of currently issued ARPA-E FOAs may be found at: <https://arpa-e-foa.energy.gov/#Foalda8bdd9ec-2cb7-4349-8184-4dde00c77663>.

Please also see the response to Frequently Asked Question D above for more information.

Q18. Our Concept Paper is completed. Where is the format for its Cover Sheet?

ANSWER: A cover sheet is not required for the Concept Paper; therefore, ARPA-E has not included a separate template for a cover sheet.

Q19. I am a Canadian citizen hoping to apply for the recently released OPEN FOA 2015. I, along with my associates, wish to start up an organization in the state of Texas if we are able to secure initial funding through this funding opportunity.

If we are able to secure funding we would become a domestic entity in the United States. However, as the deadline for the Notice of Intent is sooner than it would be possible to incorporate in the United States, would we then still be required to apply as a Foreign Entity through a subsidiary.

ANSWER: ARPA-E may not provide pre-submission eligibility determinations or advice on how to structure the project team. However, please note that applicants may expand or otherwise modify the Project Team for their Concept Paper and Full Applications. Section III.A.3 (Eligibility Information- Foreign Entities) of the FOA states that “all work by foreign entities must be performed by subsidiaries or affiliates incorporated in the United States (including U.S. territories)”. Thus, if selected for award negotiations, foreign entities would need to incorporate a subsidiary in the U.S. to receive the award, and all work would need to be conducted in the U.S. unless ARPA-E grants a partial waiver. For more information on eligibility of foreign entities to apply under this FOA, please see the response provided for Frequently Asked Question M above.

Q20. Would a U.S.-developed technology for large-scale low-cost renewable power generation outside the U.S. be disadvantaged in the ARPA-E Open review process? ** [description of project].**

ANSWER: Please see the response to Frequently Asked Question L above.

IV. Questions for week ending: JANUARY 23, 2015

Q21. I wonder what is the cost share required for an ARPA-E project if the team is composed of two entities: one small business (doing 60% of the project) and one University (doing 40% of the project)? This is not a consortium. The DE - FOA - 0001261 only discusses cost-share if the small business is doing more than 80% of the project and university the rest, but not other combinations.

ANSWER: Please review Modification 1 of the FOA at Section III.B (Reduced Cost Share Requirement) for clarification of cost share requirements.

Q22. We are a small “think tank” company, performing research and development by using computer only. When it comes to fabrication, we have to have our team member fabricate prototype. Therefore, almost 80% of cost will be spent by our team member. In this case, are we qualified for the “Cost Share Grace Period” program?

ANSWER: Please see the response to Frequently Asked Question R above.

Q23. What is the cost share requirement when the proposing organizational structure is composed of one public university and two Small and Medium-sized Enterprises (SMEs), as defined by EU law? See the example below:

Academic 5% of $x = 1.05x$

SME1 20% of $x = 1.20x$

SME2 20% of $x = 1.20x$

Total cost = $3.45x$

Aggregate Cost Share = $0.45x$

Global cost share = $0.45/3.45 = 13\% > 10\%$ for SMEs

ANSWER: Please see the response to the Frequently Asked Question R above. In addition, for eligibility of foreign entities, please see the response to Frequently Asked Question M.

Q24. If a project team receives an award, and the sub recipients won't begin work until later in the project period, will the sub recipients have to contribute cost share for the portion of the project during which they're not active? Additionally, will the cost share percentage change due to the differing types of organizations and the non-concurrent work schedules?

ANSWER: ARPA-E generally uses Cooperative Agreements to provide financial support to the Prime Recipient, and does not enter into agreements with sub-recipients. The situation described in the question above would be governed by the agreement between the Prime and sub-recipient. Although the cost share requirement applies to the Project Team as a whole, the ARPA-E funding agreement requires the Prime Recipient to be responsible for the entire cost share, and for enforcing cost share obligations assumed by Project Team members in sub-awards or related agreements. For further information on how cost share requirements apply to the Project Team, please see the response to the Frequently Asked Question Q above.

Q25. I am National Laboratory staff, and have a collaborator at a foreign university (Europe). Can the foreign collaborator contribute to the cost share? (the university does not have a US subsidiary campus).

ANSWER: Any work performed outside of the United States requires a foreign work waiver, which is rarely granted. Any proposed cost share that will be contributed by a non-U.S. collaborator performing project work would also be subject to this waiver and a determination by the Contracting Officer that the proposed cost share contribution is allowable. Please see Section III.B.6 (Cost Share Types and Allowability) of the FOA.). For more information on eligibility of foreign entities, please see the answer to Frequently Asked Question M. Any proposed cost share contribution is ultimately the legal responsibility of the Prime Recipient. See Section III.B.7 (Legal Responsibility) of the FOA.

Q26. We understand that the cost share requirement for a proposal from a standalone public university is 5%, while for a small business it is 10% for the entire project starting in the second year. We are a small business proposing with a public university, with no others. If awarded, we would receive approximately equal shares of funding to complete the project. May we fulfill the cost share requirement by providing cost share of 5% for the full university funding, and 10% for the full small business share for the duration of the effort?

ANSWER: Please see the response to Frequently Asked Question Q above.

Q27. I am an inventor, and do not have funds for cost share. I have a partner who can fabricate a prototype to test my invention. Most of the fund from DOE will be used by my partner. Can I apply for 0.0 % cost share program?

ANSWER: Please see the response to Frequently Asked Question R above.

Q28. Is ARPA-E aware of any non-federal sources of cost share that may be available for OPEN 2015 applicants?

ANSWER: Yes, the Massachusetts Clean Energy Center (MassCEC) recently established a program to cover part of the cost share requirements for relevant ARPA-E awardees (i.e. associated with Massachusetts). More information on eligibility under the MA Clean Energy Center can be found at: <http://www.masscec.com/programs/amplifymass>. Note: there is an application process for the MassCEC program that is completely separate from ARPA-E's application process for the Open 2015 FOA. In addition, successfully securing cost-share awards from a state in no way influences ARPA-E's application review process.

Q29. Under the “Title to Subject Inventions” section of the FOA who would own the title to subject inventions in absence of a waiver for large businesses and foreign entities? Further, could you please explain when ARPA-E “typically issues ‘class patent waivers’ under which large businesses and foreign entities that meet certain stated requirements may elect to retain title to their subject invention.”

ANSWER: This FOA is subject to “class patent waiver” under which large businesses that meet certain stated requirements may elect to retain title to their subject inventions (there is discretion as to whether to apply the class waiver to foreign entities). Per Section VIII.F (Title to Subject Inventions) of the FOA, if no “class patent waiver” were issued by ARPA-E for large businesses, under 42 U.S.C. § 5908, title to subject inventions would vest in the U.S. Government and large businesses would not have an automatic right to retain title to subject inventions. Even if the class waiver is not applicable, a large business or foreign entity (that has received a foreign work waiver) has the right to ask for an individual waiver under 10 C.F.R. § 784.

Q30. Our proposal aims to develop a [*** description of project]. Will applications dealing with a material whose industry is not as large as the materials listed (glass, paper, iron, steel, plastics, aluminum) but still has a remarkable market, such as rechargeable battery materials of multi-billion dollars, be responsive under sub-categories G and H of category 7 in the FOA?**

ANSWER: Please see the response to Frequently Asked Question L above.

Q31. After the submission of Letter of Intent, can the research team be changed during the submission of Concept Paper? Similarly, after the submission of Concept Paper, can the research team be changed during the submission of full proposal in case of being invited?

ANSWER: Please see the response to Frequently Asked Questions V and W above.

Q32. Are references allowed in the Concept Paper? If yes, are they counted in the page limit?

ANSWER: Per Section IV.D.1.C (Concept and Form of Concept Papers - Proposed Work), applicants may "[p]rovide specific examples of supporting data and/or appropriate citations to the scientific and technical literature." However, citations will count towards the maximum page length of 4 pages. If an applicant exceeds the maximum page length, ARPA-E will only review the authorized number of pages, starting with the first page of the submission.

Q33. In the Concept Paper, do we need to itemize the amount/percent each team member will contribute to the cost share allocations?

ANSWER: No. Applicants should refer to the Section IV.D (Content and Form of Concept Papers) of the FOA for guidance on what information should be included in a Concept Paper submission.

Q34. Can a team submit a modified application from a previous, unsuccessful submission from the 2012 ARPA-E FOA?

ANSWER: Please see the response to the Frequently Asked Question L above.

Q35. What is the definition of hybrid approaches mentioned under category 2: bioenergy; subcategory c: biofuel production-non-biological methods? This category is described as “technologies that do not utilize any biological agent in the conversion of organic feedstock to fuels” but then mentions “hybrid approaches” as an example. Traditionally, hybrid approaches is defined as the combination of biological and non-biological processing.

ANSWER: Technologies should be classified under the "Biofuel Production - Nonbiological Methods" subcategory if they do not use any biological agent in the conversion of organic feedstocks to fuels or when the use of a biological agent is for a secondary step in the process. Technologies which utilize a biological agent in one or more principal step(s) of feedstock conversion to fuels should be classified under the subcategory "Biofuel Production - Biological Methods."

Q36. I am unable to get the Concept Paper template from the link shown below. Can you help? From page 28 of the funding opportunity announcement document “a fillable concept paper template is available on ARPA-E Exchange at <https://arpa-e-foa.energy.gov>.”

ANSWER: The Concept Paper Template can be downloaded by clicking on the following link: <https://arpa-e-foa.energy.gov/FileContent.aspx?FileID=3ca805b8-4ac8-433c-96e3-e9e60a8da261>

Q37. My small company submitted an application to one of the "past" ARPA-E FOAs, we were awarded a seedling project for 12 months that was very useful in identifying things that have a chance of working and things that could not work at all. The project is now over. If we submit an application (a Concept Paper) to investigate the concepts that may work, will it be considered "responsive" to this ARPA-E OPEN FOA?

ANSWER: Since your project is “now over”, and if your proposed concept is not the same as your seedling project and is deemed compliant and responsive, it would be considered under the merit review criteria stated in Section V (Criteria) of the FOA. ARPA-E will review compliant and responsive concept paper submissions and provide feedback either encouraging or discouraging submission of a Full Application. Please see the response to Frequently Asked Questions L above.

Q38. What is the ceiling or cap for individual grants under DE-FOA-0001261?

ANSWER: Per Section II.A (Award Overview) of the FOA, individual awards may vary between \$1 million and \$10 million. ARPA-E will provide support at the highest funding level only for applications with significant technology risk, aggressive timetables, and careful management and mitigation of the associated risks.

Q39. After the Concept Paper deadline, what is the next deadline for the full proposal? After submitting the full-proposal, when will the first grant(s) be issued?

ANSWER: The FOA will be updated with information about Full Application submission requirements and timelines after the Concept Paper review process is complete. Anticipated award dates will be released in a future modification to the FOA.

Q40. I am an Assistant Professor in Computer Science at [**] University, and I am interested in submitting a collaborative proposal for OPEN 2015 with other faculty members here at [***University]. However, I am on an H1B Visa, and am wondering whether I am eligible to apply as part of a team or not. Section III.A.1 suggests that I am not eligible, but I wanted to confirm this.**

ANSWER: Per Section III.A.1 (Individuals) of the FOA, only U.S. citizens or permanent residents may apply to the FOA in their individual capacities. However, domestic educational institutions are eligible to apply for funding as a Standalone Applicant, as the lead organization for a Project Team, or as a member of a Project Team..

Q41. Does a complete Concept Paper submission consist of:

- 1 cover page
- 4 page narrative
- 1 page budget
- 1 page schedule

Do you have a template for the cover page? Where is it?

ANSWER: Please see Section IV.D (Content and Form of Concept Papers) FOA, for the content requirements for Concept Papers which includes the following sections: Concept Summary, Innovation and Impact, Proposed Work, and Team Organization and Capabilities. Concept Papers must not exceed 4 pages in length. If a Concept Paper exceeds 4 pages, ARPA-E will review only the authorized number of pages, beginning with the first page of the submission, and disregard any additional pages. The Concept Paper Template can be downloaded by clicking on the following link: <https://arpa-e-foa.energy.gov/FileContent.aspx?FileID=3ca805b8-4ac8-433c-96e3-e9e60a8da261>

A cover sheet is not required for the Concept Paper; therefore, ARPA-E has not included a separate template for a cover sheet.

V. Questions for week ending: JANUARY 30, 2015

Q42. Can you clarify the meaning of "Principal Investigator" for Concept Papers for OPEN 2015?

ANSWER: The Department of Energy Guide to Financial Assistance, most recently updated 05/23/2013, defines Principal Investigator as the "researcher, scientist or other individual designated by the recipient to direct the research and development aspects of the project."

Q43. Do I correctly understand that DOE will release the components for the full application in May 2015? When will DOE determine the deadline for the Full Application?

ANSWER: Per Section IV.E (Content and Form of Full Applications) of the FOA, the Full Application materials will be released in May 2015. During May 2015, the FOA will be updated with information about Full Application submission requirements and timelines after the Concept Paper review process is complete.

Q44. I have a question regarding the application process for the ARPA-E OPEN 2015 FOA. I represent a client, a small business in Virginia, which is looking to submit an application. I would like to know if there is any prohibition against an attorney filing an application on behalf of the client/applicant. I would serve only to prepare and file application documents on behalf of my client.

ANSWER: Concept Papers may be submitted by authorized agents of the submitting entity.

Q45. Is this FOA open to tribes?

ANSWER: Per Section III.A.2 (Domestic Entities) of the FOA, tribal government entities are eligible to apply for funding as a member of a project team, but not as a Standalone Applicant or as the lead organization for a Project Team.

Q46. Can Excel files/attachments be submitted for our cost, as well as word files?

ANSWER: No. Per Section IV.D (Content and Form of Concept Papers) of the FOA, Concept Papers may only be submitted in Adobe PDF format, and must also comply with the other content and formatting requirements outlined in that Section.

Q47. Is the Letter of Intent/interest to be submitted in the government template or can it be submitted as an attachment.

ANSWER: The Notice of Intent (NOI) must be submitted as instructed in the FOA. Instructions for submitting NOIs can be found in Sections IV.A.2 (Notices of Intent) and IV.C (Content and Form of Notice of Intent) of the FOA. For instructions on the use of ARPA-E eXCHANGE, please see Section VI.I.1 (Use of ARPA-E eXCHANGE) of the FOA.

Q48. We have in mind a project to investigate [*** description of project], we wonder whether this project fits in Category 6: Building Efficiency, or some other guidance on the category we should choose would be appreciated.**

ANSWER: ARPA-E will not provide pre-submission guidance on which technical category to apply under. Applicants must select the appropriate category for their submissions in eXCHANGE. Please see the response to Frequently Asked Question L above for further information.

Q49. Is there any SBIR set-aside for this FOA or anything special that should be done for small businesses applying here?

ANSWER: No.

Q50. Would it be appropriate to propose a ** [description of project]. Is it advisable or even acceptable to include such non-technical objectives in the proposal?**

ANSWER: ARPA-E may not provide pre-submission guidance on what information applications should include in a Concept Paper submission. Please see Section IV.D (Content and Form of Concept Papers) of the FOA for information on the required content of a Concept Paper submission and the response to Frequently Asked Question L above.

Q51. I began to submit my notice of intent, but there is no option to apply as a "Stand Alone Applicant," as is described in the FOA ("U.S. citizens or permanent residents may apply for funding in their individual capacity as a standalone applicant, as the lead for a project team, or as a member of a project team."). How shall I apply? As a business <500?

ANSWER: In eXCHANGE, under "Organization Type" select "Individual" from the drop down menu.

NOTICE OF INTENT DETAILS FOR FOA #DE-FOA-0001261 OPEN 2015

General

Submission Status: New

Applicant: *

Project Title: *

Organization Type: *

Lead Organization: *

Primary Technical Area: *

Additional Technical Area: *

Technical Point of Contact: *

Details

Salutation: *

First Name: *

Last Name: *

Title: *

Email: *

Please do not use acronyms

Business 500-1000 Employees

Federally Funded Research and Development Center (FFRDC)

Government Owned and Operated (GOO)

Indian/Native American Tribal Government

Individual

Non-Profit

State and/or Local Government

Primary Technical Area

Additional Technical Area

Q52. Can I submit several proposals (different area or same area) by being PIs or co-PIs.

ANSWER: Please see the responses to Frequently Asked Questions J and K above.

Q53. Does Category 3 -I : Batteries –Transportation include battery management and control processes?

ANSWER: Battery management and control technologies should be included as part of Category 3.G: Power Electronics – Transportation.

Q54. Can a PI submit the same/modified and larger version of their proposal to the office of science funding opportunity DE-FOA-0001192 submitted last December (2014), which is pending review, to this announcement as well?

ANSWER: ARPA-E funds applied research and development. Per FOA Section I.E (Applications Specifically Not of Interest) of the FOA, applications for basic research aimed solely at discovery and/or fundamental knowledge generation are specifically not of interest and would be deemed non-responsive. An application submitted to the DOE Office of Science for basic research should not be submitted in response to this announcement unless it is significantly modified toward applied research and development.

Q55. The answer to some of your FAQ's is to consult "section III.C", "Compliant Criteria", "Applications Process Overview" and other specific terms or documents or headings. I cannot find any of these key words, even when I use the search field. What are the URL's to these references?

ANSWER: The cited portions of the FAQs refer to parts of the FOA. The most recent version of the FOA can be found on eXCHANGE at <https://arpa-e-foa.energy.gov> under the section for DE-FOA-0001261 OPEN 2015, or at the following link (as of 02/06/2015): <https://arpa-e-foa.energy.gov/FileContent.aspx?FileID=2e35283c-8e79-4d80-b906-94c377e7f3c3>

Q56. Can you offer an approximate hurdle rate of quads of energy saved per year in the USA per \$1 million of total project costs for an applicant to judge if his project is reasonable?

ANSWER: No.

Q57. We are a [non-DOE GOGO laboratory] and are looking to team with one University and one industry partner and perhaps have the industry partner serve as the lead. Are there any restrictions or requirements that we need to be aware of? For example, is it okay for the [*non-DOE GOGO laboratory] to serve as a sub to an industry partner? Lastly, please address the matter of funds and how it would need to be administered assuming we were selected.**

ANSWER: ARPA-E will not provide a pre-submission assessments or guidance concerning potential teaming arrangements for project teams. Please review Section III.B.2 (Eligibility Information) of the FOA for information on entities which are eligible to apply to this FOA.

With regard to how ARPA-E would provide funds to a non-DOE GOGO, per Section II.B.2 (Funding Agreements with FFRDCs, GOGOs, and Federal Instrumentalities) of the FOA, Non-DOE GOGO/Agency support would be obtained via an Interagency Agreement between ARPA-E and that Agency, and provided as part of ARPA-E's standard substantial involvement in its funded projects. Please refer to Section II.B.2 of the FOA for further information.